



U.S. FISH AND WILDLIFE SERVICE TRANSMITTAL SHEET

PART 522 FW 2, 11, 12, and 14	SUBJECT State Grant Programs Grantee Administration Research Surveys and Inventories Technical Guidance	RELEASE NUMBER 374
FOR FURTHER INFORMATION CONTACT Division of Federal Aid		DATE August 31, 2001

EXPLANATION OF MATERIAL TRANSMITTED:

These chapters include minor revisions and incorporate plain language requirements.

Acting 
DIRECTOR

FILING INSTRUCTIONS:

Remove:

522 FW 2, 12/17/92, FWM 060 (1 sheet)
522 FW 11, 12/17/92, FWM 060 (2 sheets)
522 FW 12, 12/17/92, FWM 060 (1 sheet)
522 FW 14, 12/17/92, FWM 060 (1 sheet)

Insert:

522 FW 2, 08/31/01, FWM 374, 08/31/01 (1 sheet)
522 FW 11, 08/31/01, FWM 374, 08/31/01 (2 sheets)
522 FW 12, 08/31/01, FWM 374, 08/31/01 (1 sheet)
522 FW 14, 08/31/01, FWM 374, 08/31/01 (1 sheet)

11.1 What is the purpose of this chapter? This chapter provides guidance on grants to conduct research on issues related to the management of fish and wildlife resources. The "Handbook on Research and Surveys, Federal Aid in Fish and Wildlife Restoration" and "Tactical Planning in Fish and Wildlife Management and Research" provide more specific information. These handbooks are available from Regional Federal Aid Offices.

11.2 What are the definitions for some terms as used in this chapter?

A. "Research" results are useful for a long time period and over a broad geographical area. In contrast, in 522 FW 12 on "survey and inventory" grants, the results of survey and inventory projects apply only to the specific period and/or geographical place of the survey or inventory.

B. State(s). Refers to State fish and wildlife agencies and other grantees.

C. We. Refers to the Fish and Wildlife Service.

11.3 What are the eligible purposes for these grants? Research studies must have objectives that relate to [50 CFR 80.5]:

A. Providing solutions to problems involving fish or wildlife resources.

B. Determining factors affecting the demands or needs for fish and wildlife resources.

11.4 What special conditions apply to research grants? The following conditions specifically apply to studies within a grant to conduct research.

A. Principal Investigator. If there is a change in the principal investigator, you must amend the Grant Proposal [43 CFR 12.70(d)(3)]. See 522 FW 1 for general information on amending a Grant Proposal.

B. Acknowledgments. In all final reports, publications, theses, and contract research reports, you should acknowledge the Federal Aid program that funded the research and cite the Federal Aid grant number. You may also use the appropriate Federal Aid symbol to identify the program.

C. Copyrights. States may copyright any book, publication, or other copyrightable material. However, the Federal Government has a royalty-free, nonexclusive and irrevocable license to use the material and to authorize others to use it for Government purposes [43 CFR 12.74].

D. Patents. The State must notify the Regional Director of any patentable invention or process that it develops as part of a research study. Patent rights are subject to the clause

specified in, "Rights to Inventions made by Nonprofit Organizations and Small Business Firms" [37 CFR 401.14b].

E. Treatment of Live Animals. Treatment of live animals involved in research may be subject to the Animal Welfare Act of 1985 and the regulations of the Department of Agriculture [9 CFR Parts 1-3].

11.5 What does a study statement include? For each study for research within a grant, a study statement must include the following information [50 CFR 80.13].

A. Need. State the problem that needs a solution wholly or in part by this research. Include a brief discussion of the literature review relative to the problem.

B. Objective. State precisely the intended outputs from the effort, showing the quality and the time of accomplishment. Examples:

(1) By the end of the Grant Proposal period, determine if cementum samples can be accurately analyzed to show reproductive histories in black bears.

(2) By 2004, to compare current smallmouth bass recruitment in the Trinity City section of the Embarrass River with recruitment established from 1985-1989, prior to the 500-year flood of 1993.

(3) By 2004, learn the factors limiting the wild turkey populations in Rhode Island.

C. Results and Benefits. Describe how you will use the results and how their use resolves the need described. Examples:

(1) Resolving uncertainties in reading cementum in bears will allow construction of computer models guiding management of the harvest with maximum insurance for welfare of the population.

(2) Information gained from the research will determine the need to develop a supplemental stocking program for the Trinity City section of the Embarrass River.

(3) The information will be used to develop a statewide wild turkey management plan for Rhode Island.

D. Approach. For each study within the grant, describe how you will carry out the research. Include the method(s) you will employ and the schedule of work. If you will subcontract the work (or major portions of the work) under an agreement with a third party such as a university, identify the party or entity doing the actual work. Include the name of the principal investigator.

E. Location. Identify where the work will be done. If the research involves field work, provide the location of the field work in addition to the location of the research facility.

F. Cost. For each study within the grant, provide the estimated cost, by year, for completion of the objective.

11.6 What information do I need to support the Grant Proposal? Refer to 522 FW 1 for general information on documentation to support the Grant Proposal [50 CFR 80.11]. If the proposal is for renewal of an ongoing study, provide an evaluation of the study to date and its results. Since the evaluation is a condition for renewal of the study, you must submit it with the GP [50 CFR 80.11, 43 CFR 12.50(b)(3)].

11.7 What documentation do I need to support the Grant Agreement? See 522 FW 1 for general information on documentation to support the Grant Agreement. For each study within a grant, provide a work plan and cost estimate for the Grant Agreement period [50 CFR 80.11(a), 43 CFR 12.50(b)(3)].

11.8 What are the allowable costs? General requirements related to allowable costs are in 43 CFR 12.62 and 522 FW 1.

11.9 Are reports required? You are responsible for monitoring each study within a grant to ensure compliance with Federal requirements and to ensure that you are meeting study objectives [50 CFR 80.18; 43 CFR 12.80(a)]. The State, or sub-grantee, must provide annual performance reports for research studies as described in subparagraph A below [43 CFR 12.80(b)]. For final performance reports, however, the State, or sub-grantee, may submit a final research report as described in subparagraph B below, or a publication manuscript containing the information:

A. Annual Performance Reports. The State must submit an annual performance report within 90 days of the completion of the grant year, normally the expiration date of the Grant Agreement [43 CFR 12.80(b)(1)]. If you cannot submit the annual performance report within the 90-day period, send a written request for extension and provide an estimated date for submission, to the Regional Director before the end of the 90-day period [43 CFR 12.80(b)(1)]. Unless otherwise advised by the Regional Office, send an original and two copies of the report [43 CFR 12.80(b)(3)]. For each study in the GA, annual performance reports must contain the following information [43 CFR 12.80(b)(2)]:

(1) A summary of the work completed during the GA period compared with the work plan identified in the GA.

(2) Costs incurred during the GA period.

(3) Explain any deviations in work or costs, why they occurred, and how these may impact on accomplishment of the stated study objective(s).

B. Final Reports. In addition to an annual performance report, at the end of the last year of a Grant Proposal period, States must submit a final performance report within 90 days of the expiration of the Grant Proposal [43 CFR 12.80(b)]. If you cannot submit the final report within the 90-day period, send a written request for extension and provide an estimated date for submission, to the Regional Director before the end of

the 90-day period [43 CFR 12.80(b)(1)]. Unless otherwise advised by the Regional Office, send an original and two copies of the report [43 CFR 12.80(b)(3)]. For each study in the grant, the final report may be either:

(1) A final report, signed by a State official, containing the following information:

(a) Name of the State, grant and study number, title, the period covered by the research, and the name of the researcher.

(b) The problem or need which prompted the research

(c) Evidence of a review of prior research and studies in progress.

(d) The objective(s) addressed.

(e) The approach or procedures used.

(f) A discussion of the findings related to the objective(s), problem, or need. Include a discussion of the management implications of the findings.

(2) A publication or manuscript that contains the above information that you have submitted for publication. This publication or manuscript may contain the results of more than one completed study. A popular account of research is acceptable as a final report if it is precise and complete and if a nontechnical audience is the intended target for the findings.

(3) Grantees can also submit an academic thesis or dissertation as a final performance report, so long as it contains the elements in subparagraph B(1) above.

11.10 Do I have to submit reports to renew the Grant Proposal? Final performance reports for research grants the State is seeking to renew need evaluation to measure the accomplishment of the study objectives before each renewal of the GP [50 CFR 80.11, 43 CFR 12.50(b)(3)]. The purpose of the evaluation is to ensure that the research is effective in meeting the need [50 CFR 80.13]. The Final Report for a GP containing a research study for which the State is seeking a renewal is due with the submittal of the new GP containing the research.

11.11 Do sub-grantees have to submit reports? The States are responsible for obtaining information on performance from sub-grantees and contractors necessary for the State to meet annual and final performance reporting requirements as noted above [50 CFR 80.18(a)(3)].

11.12 Are there financial reporting requirements? States must submit a Financial Status Report (FSR), SF-269, for each GA annually [43 CFR 12.81(b)(3)]. The FSR is due within 90 days of the end of the grant year. For a GA lasting 12 months, this is the expiration date of the GA. For multi-year GA's this is the one-year anniversary of the effective date of

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the GA [43 CFR 12.81(b)(4)]. If you cannot provide the report within the 90-day period, submit a request for extension to the Regional Director. The request must contain a justification for the delay and an estimated date for submission of the required report [43 CFR 12.81(a)(7)]. The State can obtain copies of the SF-269 from Regional Offices. When circumstances warrant closer monitoring, the Service may require that States submit Financial Status Reports quarterly, or more frequently in the case of a "high risk" State [43 CFR 12.81(b)(3); 43 CFR 12.52(b)(3)].